

## Appendix B: United States Naval Academy






DEPARTMENT OF THE NAVY  
UNITED STATES NAVAL ACADEMY  
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9 Feb 23

MEMORANDUM FOR DEPARTMENT OF DEFENSE SEXUAL ASSAULT PREVENTION  
AND RESPONSE OFFICE

SUBJECT: Submission for the Annual Report on Sexual Harassment and Violence at the  
Military Service Academies, Academic Program Year 2021-2022

1. In accordance with Section 532 of the John Warner National Defense Authorization Act for Fiscal Year 2007 requirement to conduct annual assessments of Military Service Academies, and in response to your memorandum dated 5 August 2022, I am forwarding the U.S. Naval Academy (USNA) final Sexual Assault Prevention and Response (SAPR) programmatic assessment, SAPR compliance assessment, sexual harassment program compliance assessment, and supporting documentation.
2. USNA is fully compliant with DoD policies regarding sexual assault and sexual harassment. Our self-assessment found sufficient evidence of compliance in all functional areas.
3. Our programmatic self-assessment revealed full compliance with the tasking in your 15 February 2022 memo, including evidence of increased integration and critical evaluation through the development of an Academy-wide Comprehensive Prevention Plan and Integrated Violence Prevention Policy. Prevention of destructive behaviors remains one of my top priorities across the institution.



*Sear J. Buck*

S. S. BUCK  
Vice Admiral, U.S. Navy  
Superintendent

# U.S. Naval Academy

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## Executive Summary



The United States Naval Academy (USNA) executed an extensive, critical self-assessment process for Academic Program Year (APY) 2021-2022, comprised of a programmatic data call, Sexual Harassment Prevention program compliance assessment, and Sexual Assault Prevention and Response (SAPR) program compliance assessment.

USNA determined compliance in each area by using the compliance assessment tools provided by the Department of Defense (DoD) and comparing USNA's programs to the requirements outlined in the tools, which are derived from the applicable governing instructions. Additionally, following the release of the Annual Report on Sexual Harassment and Violence at the Military Service Academies for APY 20-21, the Undersecretary of Defense for Personnel and Readiness issued tasking to the Academies, and directed the Academies to report out on progress made in this year's report. The Undersecretary's tasking was in the areas of Prevention, Response, and Climate (DEOCS survey), and USNA is in full compliance with the tasking.

Overall, USNA is in compliance with the Department's policies regarding sexual harassment and sexual assault. There is sufficient evidence of compliance in all functional areas. The following pages capture observations on USNA's Sexual Harassment and Sexual Assault Prevention and Response programs, including several significant accomplishments, which are detailed in this report.

Following the USNA report is a summary of the Naval Academy Preparatory School's SAPR program for APY 21-22.

## Programmatic Data Call Summary

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USNA made significant effort to address Sexual Harassment and Sexual Assault during APY 2021-2022. The strategic-level summaries below describe challenges confronted and progress made in four functional areas:

- Efforts to Reduce and Prevent Sexual Assault, Sexual Harassment, and other Harmful Behaviors
- Sexual Assault and Sexual Harassment Reporting
- Victim Care and Advocacy
- Program Oversight

## Functional Area 1: Efforts to Reduce and Prevent Sexual Assault, Sexual Harassment, and other Harmful Behaviors

In APY 21-22, USNA focused on aligning prevention activities with the Department of Defense Instruction 6400.09 (Policy on Integrated Primary Prevention of Self-Directed Harm and Prohibited Abuse or Harm), as well as implementing the actions directed in the Undersecretary of Defense for Personnel and Readiness [USD (P&R)] Memorandum to the Secretaries of the Military Departments and the Superintendents of the Military Service Academies (February 15, 2022). These efforts resulted in the Superintendent's issuance of the USNA Integrated Violence Prevention Policy, and the production of a corresponding Comprehensive Prevention Plan, which integrates prevention activities at USNA along five major lines of effort: suicide, sexual assault, harassment, intimate partner violence, and alcohol abuse. Further, USNA expanded prevention programming to reach across the institution. Successes included the following:

- The Midshipman Affairs Team (MAT) drafted, staffed, and implemented a Comprehensive Prevention Plan (CPP). The CPP was made with inputs from across USNA, including the Midshipman Culture Council, Academics, Alcohol and Drug Education Officer (ADEO), Chaplains, Command Managed Equal Opportunity (CMEO), Command Climate Specialist (CCS), Leadership Ethics and Law (LEL), Midshipmen Development Center (MDC; mental health), Naval Academy Athletic Association (NAAA), Office of Diversity, Equity, and Inclusion (ODEI), SAPR, Suicide Prevention Coordinator (SPC), and the Stockdale Center for Ethical Leadership. USNA also greatly leveraged the Centers for Disease Control Violence Prevention Technical Assistance Center (CDC VPTAC), via a DoD SAPRO contract, in building the CPP.
- Also via the MAT, in response to civilian faculty concerns about properly assisting distressed midshipmen, the Provost partnered with the Midshipmen Development Center and other resources to create a faculty guide and instructional video to help faculty members provide proper guidance to midshipmen.
- Recognized that USNA has a large population of junior enlisted Sailors assigned who are in the same at-risk age demographic as the Brigade of Midshipmen, and curated sexual harassment and sexual assault prevention programming for them. This included an initial assessment followed by a focus group, a guest speaker, bystander intervention training, greater inclusion in Sexual Assault Awareness and Prevention Month (SAAPM), and posting Spectrum of Sexual Misconduct and The Watch List posters in the junior enlisted barracks and well as work spaces. The expansion of programming also recognizes that the Brigade of Midshipmen exists in a larger USNA ecosystem, and a comprehensive prevention strategy must include the entire institution in which they interact.
- Brought two additional peer-helper teams to full operational capability: MDC Peer Advisers and Diversity Peer Educators (DPEs). The MDC Peer Advisers are trained in issues related to mental health and well-being by the professional staff of MDC to reduce the stigma in help-seeking for mental health issues. DPEs are trained by professional staff on diversity, equity, and inclusion and they work to create an inclusive environment that fosters dignity and respect throughout the Brigade by equipping midshipmen to lead across cultures, and by facilitating small group discussions that educate and inform midshipmen, faculty and staff. The DPEs are a partnership between ODEI and the

Stockdale Center for Ethical Leadership. Both teams are embedded in Companies throughout the Brigade and, in the case of DPEs, embedded within athletic teams as well. This recognizes the large impact that athletics has on the overall culture at USNA, and the increased involvement of NAAA in prevention initiatives during APY 21-22.

- Implemented two large-scale alcohol reduction initiatives: eCHECKUP TO GO (interactive, online program that provides immediate, personalized feedback about alcohol use; implemented with the assistance of RAND, via a DoD SAPRO contract) for 3/C midshipmen, and the Alcohol-Related Incident (ARI) Reduction Plan across the Brigade. The ADEO evaluated the eCHECKUP TO GO initiative as ineffective, and it was discontinued. The ADEO and Commandant also evaluated the ARI Reduction Plan, which encourages responsible alcohol use by holding individuals as well as Companies accountable. The ARI Reduction Plan will again be used in APY 22-23, but with modifications to increase Brigade engagement and accountability.
- Held SAAPM Squad Leader Discussions: Utilizing the data from the 2021 Academy Climate and Networking Study conducted by DoD Office of People Analytics, squad leaders were responsible for setting up a discussion with their squad, outside of mealtimes. The focus was on the social norms data and facilitating discussion around Brigade social norms and how they impact the risk of sexual harassment and sexual assault throughout the USNA community.
- USNA SAPRO partnered with the Midshipmen Financial Advisor to provide a workshop on money and relationships, which focused on identifying healthy and unhealthy signs of relationships as correlated to financial issues, and the intersectionality with Intimate Partner Violence.
- MDC received funding to bring the NeuroFlow mental health app online for midshipmen.

Challenges included the following:

- While some of USNA's prevention workforce is full-time, some are military collateral duty holders, including ADEO, CMEO, and SPC, whose primary duties are intensive and time consuming, as they involve directly leading midshipmen. Collateral duty holders also turn over frequently. USNA mitigates this to the maximum extent possible through the continuity provided by full-time prevention staff and by groups such as the MAT and the Prevention Working Group (PWG).
- Midshipmen, as well as faculty and staff, have tremendous demands on their time, and prevention activities must be carefully planned and de-conflicted. USNA recognized this and during APY 21-22 implemented the Midshipmen Centric Training Calendar (MCTC). The MCTC synchronizes and optimized midshipmen's time, and includes prevention activities such as Sexual Assault and Harassment Prevention Education (SHAPE) training sessions, and other interventions. The MCTC is incorporated into the CPP as the executable, temporal aspect of the CPP.

USNA appointed the SAPR Program Manager, who also serves as the MAT Chair, as the Interim Violence Prevention Program Integrator (VPPI) as directed by USD (P&R) in February 2022, while working to fill the VPPI position with a full-time expert. The Superintendent charged the Interim VPPI with leveraging the MAT and other resources and programs to direct



coordination, integration, and recommend resource decisions addressing sexual assault, sexual harassment, suicide prevention, and other harmful behaviors. USNA is working with DoN Office of Force Resiliency (DoN OFR) and the office of the Assistant Secretary of the Navy for Manpower and Reserve Affairs (ASN M&RA) on funding and expects to staff the position in FY-23, in accordance with USD (P&R) tasking.

In August 2022, the Superintendent signed out the USNA Integrated Violence Prevention Policy, which ensures that USNA's CPP is a permanent, resourced programmatic requirement. The Integrated Violence Prevention Policy directs that the VPPI act as the MAT Chair and integrate prevention efforts across the Yard. Further, the policy requires that all prevention staff shall receive proper training. In November 2021, USNA hosted a team from CDC VPTAC for a multiday, on-site prevention training seminar for the PWG and members of the MAT, including the MAT Chair. USNA plans to continue to work with CDC VPTAC on training efforts.

USNA recognizes that prevention activities must be evaluated for effectiveness and outcomes. As part of the CPP, USNA planned for the evaluation of three current prevention interventions: the Sexual Harassment and Assault Prevention Education (SHAPE) peer education program, MDC Peer Advisers, and Dignity and Respect Remediation. In APY 20-21 USNA partnered with the NORC at the University of Chicago to create an outcome evaluation of the SHAPE program's effectiveness. The first phase of this multi-year partnership, contracted through DoD SAPRO, focused on survey planning and construction of the survey instrument. During APY 21-22, USNA collected baseline data from the Classes of 2025 and 2023. Follow-on surveys for both of these classes will be conducted during APY 22-23. USNA is also planning an evaluation of the MDC Peer Adviser program. This evaluation will be conducted in partnership with DoN OFR, with support from a contractor subject matter expert. Additionally, USNA is planning to evaluate the Dignity and Respect Remediation program. Midshipmen may be assigned Dignity and Respect Remediation for offenses such as sexual harassment, bullying, and discrimination. USNA recognizes the linkages between a culture of dignity and respect and prevention of violence, as well as the correlation between sexual harassment and sexual assault along the spectrum of sexual misconduct. USNA will use the results from these and other evaluations to modify, enhance, or discontinue prevention activities as the data and feedback dictate.

## Functional Area 2: Sexual Assault and Sexual Harassment Reporting

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USNA prescribes policy on sexual harassment and sexual assault through USNAINST 1752.2H, USNAINST 5354.1C, and COMDTMIDNINST 5351.1C. These policies are in force and signed out by the Superintendent and Commandant as appropriate, and include training requirements for those who process allegations involving sexual harassment and sexual violence involving military personnel. USNA also has drafted an updated USNA SAPR instruction that incorporates recent updates to DoD policy involving Restricted Reporting, along with the No Wrong Door and Safe to Report updates to DoN policy. These updates to policy have been briefed extensively to midshipmen, faculty, and staff. DoD also directed the expansion of the Catch a Serial Offender (CATCH) program to include Unrestricted Reports. The CATCH program is briefed at every SAPR training brief given to midshipmen, faculty and staff. USNA continued during APY 21-22 to use its best practice of offering victims a private computer space to make a CATCH entry. .

In accordance with direction from USD (P&R), USNA is actively tracking the number of reports where midshipmen cite Safe to Report as having influenced their decision to report. The Response Office, which consists of two full-time Sexual Assault Response Coordinators (SARC), two full-time Victim Advocates (VA), and a 24/7 watchbill of collateral duty Uniformed Victim Advocates (UVA) added a section to intake documentation to capture reports by midshipmen who request to make a report using the Safe to Report policy. As of September 23, 2022, USNA has had one midshipman cite Safe to Report as having influenced their decision to report. USNA believes the number of cases where Safe to Report is a factor in a midshipman's decision is much higher, but that midshipmen still tend to not report or disclose the collateral misconduct to a SARC or VA. Safe to Report is one of a number of USNA initiatives in furtherance of the overarching goal of driving up reporting closer to actual prevalence. USNA's Leave of Absence Policy provides midshipmen victims up to a year away from the institution to enable them to concentrate on their physical and psychological well-being, as well as to focus on any ongoing investigation and potential judicial processes. USNA also continued to make concerted efforts to publicize the CATCH program. CATCH is featured prominently in SAPR training briefs and discussions, and is shared as an option for victims by their SARC or VA. In the three years since the implementation of the CATCH Program, USNA has witnessed a steady increase in Restricted reports, as well as in overall report numbers.

USNA is collaborating with the DoD Office of People Analytics on the MSA Command Climate Assessment Process Evaluation, which will implement the USD (P&R) directed changes on how climate surveys are administered at USNA. Also, Midshipmen have been added to the Brigade's Command Resilience Team (CRT) for this. In this capacity they will be a part of the process of reviewing the risk factors of the command climate survey results.

## Functional Area 3: Victim Care and Advocacy

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USNA developed a localized Case Management Group (CMG) instruction, signed out by the Superintendent. This local instruction aligns with the DoD requirements to, in addition to monthly meetings focused on individual victim safety and care, begin to hold quarterly meetings focused on system coordination, trends, and process improvement. The USNA CMG instruction also aligns with DoD policy to protect victim privacy and keep case information consolidated to those parties who have a demonstrable "need-to-know". Additionally, the USNA CMG instruction clearly defines and codifies roles and responsibilities of SACMG members, both mandatory and optional / case dependent. Further, USNA held a training session during APY 21-22 to highlight roles of the various service-providers who attend CMG, with a particular emphasis on the Mental Health Professional / Trauma Specialist from MDC. Lastly, in accordance with USD (P&R) tasking, USNA provided its CMG training materials to DoD SAPRO, via DoN OFR, during APY 21-22.

At USNA, both SARCs input reports using the DD Form 2910 (and DD Form 2910-2 and DD Form 2910-3 for documenting cases of retaliation and for return of victim's personal property, respectively) directly into DSAID. Both full-time VAs work with a SARC to input reports into DSAID; however, USNA proactively gained approval from Commander, Navy Installations Command (CNIC) to give both full-time VAs limited DSAID access to document SAPR Related Inquiries (SRI). The entire Response Office at USNA had the ability to enter SRIs into DSAID during APY 21-22.

The USNA Response Office informs midshipmen victims that academic schedule de-confliction is available regardless of the conclusion of the military justice process, or whether the victim is participating in the military justice process at all. The Response Office liaises with the Associate Provost for Academic Affairs for de-confliction for as long as the victim requests these SAPR services. Identifying a need for training in the Military Justice process, USNA JAGs held a seminar entitled “Legal Process for SAPR Cases” for SAPR staff, Chaplains, and Battalion Officers. USNA is also an active member of the DoD MSA / ROTC Transfer Working Group, which meets regularly to examine cadet and midshipmen transfer policies.

## Functional Area 4: Program Oversight

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USNA updated both the institution-wide CMEO policy as well as the CMEO policy for the Brigade of Midshipmen during APY 21-22. The current SAPR policy remained in force, with an update pending finalization of updates to DoD and DoN policies. USNA has also worked with DON OFR to ensure the Annual Report, together with the Secretary’s comments on the report, is submitted to the Board of Visitors (BoV) and documented in the BoV meeting minutes. During APY 21-22, USNA, in conjunction with DoN OFR, hosted the National Discussion on Sexual Assault and Sexual Harassment at America’s Colleges, Universities, and Service Academies on April 6th, 2022. Lastly, during the coming Academic year, USNA intends to continue to integrate and expand prevention programming, and to refine the CPP.



# Sexual Harassment Prevention Program Compliance Assessment

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In accordance with tasking from the USD (P&R), and as part of the APY 21-22 Data Call for the Department of Defense Report on Sexual Harassment and Violence at the Military Service Academies, USNA conducted a Sexual Harassment program compliance self-assessment. The Sexual Harassment Prevention Program Compliance Tool was used to execute its assessment, organized into nine functional areas:

- Sexual Harassment Program Policy Requirements
- Procedures and Requirements for Processing Sexual Harassment Complaints
- Anonymous Complaints
- Responding to Sexual Harassment Complaints
- Requirements for Prevention and Response Training and Education Programs
- Retaliation
- Investigation Procedures
- Data Collection and Reporting Requirements
- Command Climate Assessment

Compliance in each area was determined by comparing USNA's programs to the requirements outlined in the governing instructions referenced in the Program Compliance Assessment Tool, principally DoD Instruction 1020.03, Change 1 (December 29, 2020), "Harassment Prevention and Response in the Armed Forces."

Overall, the self-assessment determined that USNA is in compliance with the Department's policies regarding sexual harassment prevention and response, with sufficient evidence of compliance in all nine functional areas. The following pages capture the results and observations of USNA's sexual harassment prevention and response programs.

# Functional Area 1: SH Program Policy Requirements

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USNA is in compliance with DoD policy requirements for Sexual Harassment programs.

The overarching USNA sexual harassment program is codified in USNAINST 5354.1C, "Command Managed Equal Opportunity Program," where the Superintendent ensures leaders at all levels assist and support sexual harassment complaints. Specific to the Brigade of Midshipmen, COMDTMIDNINSTs 5354.1C, "Command Equal Opportunity and Sexual Harassment Program for the Brigade of Midshipmen," 5354.2, "Dignity and Respect Remediation Program," and 1610.2K "Administrative Performance and Conduct System" govern the sexual harassment program. The Superintendent, through designated personnel, ensures that leaders at all levels are held appropriately accountable for fostering a climate of inclusion and one that does not tolerate sexual harassment. The Brigade CMEO and the CCS receive and process all sexual harassment complaints, as well as facilitate training and discussions, and provide access to resources. All training materials are approved by the Defense Equal Opportunity Management Institute (DEOMI), to include information regarding how to identify sexual harassment, DoD standard definitions and types of harassment, as well as points of contact. Information regarding sexual harassment prevention and response is prominently posted near classrooms, passageways, and dormitories. While USNA has not established its own 24-hour toll free hotline, it actively uses and advertises the Department of the Navy (DoN) Sexual Harassment and Inspector General 24-hour hotlines, which are prominently displayed on CMEO posters throughout USNA.

There are additional resources available to midshipmen, including the MDC, and Chaplains assigned to each Battalion. CMEO and CCS promote these resources during formal training and informal discussions. In cases where sexual harassment complaints are substantiated, administrative and / or disciplinary action is taken in accordance with the Midshipmen Regulations (COMDTMIDNINST 5400.6X). In the event a midshipman is found guilty of a conduct offense related to sexual harassment or discrimination, they may be assigned to the Dignity and Respect Remediation Program. This program allows a re-mediator, assigned by the Commandant of Midshipmen, to meet individually with the midshipman for 4-6 months in order to address the infraction.

After having completed expanded training in APY 19-20 to incorporate sexual and prohibited harassment into their portfolio, SAPR GUIDEs fully implemented their additional role as resources and referral agents for CMEO and CCS during APY 20-21, and continued these efforts in APY 21-22. Further, the Commandant of Midshipmen approved GUIDEs to wear a teal ribbon pin with GUIDE logo, which the GUIDE team designed and the SAPR office funded, so that they may be more easily identified by midshipmen who need their assistance in SAPR or CMEO situations. Recognizing that GUIDEs are exposed to vicarious trauma in the execution of their duties, in APY 21-22 USNA established a dedicated safe space in Bancroft Hall to assist GUIDEs in processing the emotional weight of the disclosures they receive.

## Functional Area 2: Procedures and Requirements for Processing Sexual Harassment Complaints

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USNA is in compliance with DoD policy requirements for processing sexual harassment complaints.

The Superintendent, Chief of Staff, and Commandant of Midshipmen are notified of all sexual harassment reports, and complaints are filed with the CMEO using form 5354/2. Informal complaints are addressed at the lowest possible level, and documented in compliance with SECNAVINST 5300.26E and OPNAVINST 5300.13. Formal complaints are processed within 72 hours of receipt, to the maximum extent possible, and are forwarded to the Superintendent. All complainants are notified when an investigation begins and are advised of how the process works. Complainants are given periodic updates until completion of the process, debriefed on whether the complaint was substantiated or unsubstantiated, and informed of appeal options if the complaint is unsubstantiated. Reports are closely monitored to ensure timely resolution (14 days for informal complaints and 60 days for formal complaints, in accordance with OPNAVINST 5300.13). All completed final reports are submitted from the Commandant to the Superintendent within 20 days after the date the investigation commenced. The final reports are reviewed by the Staff Judge Advocate for legal sufficiency. Quarterly complaint reports are submitted to OPNAV N1730E.

## Functional Area 3: Anonymous Complaints

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USNA is in compliance with DoD policy on anonymous sexual harassment complaints.

In APY 20-21, the anonymous sexual harassment reporting mechanism, which was created in collaboration with RAND GTO, was fully implemented on the USNA Intranet. This form affords members anonymity if they do not desire to reveal their identity, and is accessible to all midshipmen and staff. In APY 21-22, USNA continued to train midshipmen on the anonymous reporting option and promoted its use.

The Superintendent and leaders at all levels ensure actions are taken regarding anonymous complaints. Anonymous reports that contain enough information to permit the initiation of an investigation are acted upon in accordance with OPNAVINST 5300.13. Anonymous complaints that do not meet the threshold for an investigation are documented in Memoranda for Record and used by the CMEO/CCS to monitor trends and address systemic patterns, as well as areas for emphasis in training.

## Functional Area 4: Responding to Sexual Harassment Complaints

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USNA is in compliance with DoD policy on responding to sexual harassment complaints.

All midshipmen are informed of reporting and resolution options, and are made aware of all available resources such as CMEO, CCS, MDC and Chaplains. Complainants are also informed of the process for appealing administrative findings.

## Functional Area 5: Requirements for Prevention and Response Training and Education Programs

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USNA is in compliance with DoD policy requirements for sexual harassment prevention and response training and education.

Training is delivered exclusively by instructors who possess the requisite skills and competencies. USNA's implementation of SHAPE Peer Educators to provide sexual harassment training to fellow midshipmen allows sexual harassment training to be given in conjunction with SAPR training. Prior to facilitating any sessions on sexual harassment and/or sexual assault for their peers, SHAPE Peer Educators are trained by experts, to include the CMEO and CCS in the case of sexual harassment topics, during a dedicated, intensive, two-week period in the summer prior to the start of the next APY. Training includes information on how to identify sexual harassment, DoD standard definitions, types of harassment, and procedures for submitting complaints. Topics and content are approved annually by DEOMI and training is continuously tailored based on trends and challenges the Brigade is facing. Fleet scenarios are included in the training, when appropriate.

During APY 20-21, USNA continued their partnership with RAND Getting To Outcomes (GTO), via a DoD SAPRO contract, to expand the scope of the "Spectrum of Misconduct" poster project from the previous APY. Unfortunately, COVID-19 precluded GTO from completing their evaluation on the effectiveness of the posters. However, during APY 21-22, USNA in conjunction with RAND GTO conducted an effectiveness evaluation of the posters, and determined that the posters have had a positive effect on the identification of sexual harassment and sexual assault behaviors. As such, USNA has continued and expanded the use of the "Spectrum" poster. The poster project has continued to augment the formal training midshipmen receive on sexual harassment and sexual assault. The poster addresses the differences between both destructive behaviors using a visual spectrum, and display of the posters was expanded beyond Bancroft Hall to other buildings across the installation. The overarching message is that USNA "sweats the small stuff" and not a single behavior depicted across the spectrum will be tolerated.

## Functional Area 6: Retaliation

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USNA is in compliance with DoD requirements for retaliation associated with sexual harassment complaints.

USNA training and education programs include retaliation and reprisal associated with sexual harassment complaints in accordance with DoD and DoN directives, with specific content to support challenges unique to USNA. Leaders at all levels comply with established processes for reporting retaliation associated with sexual harassment complaints, and processes are in place to address retaliation through leadership, IG complaints and investigations, JAG investigation, and CMEO/CCS involvement. Retaliation complaint data received through leadership, IG, and CMEO/CCS channels are reviewed quarterly. The Superintendent has delegated the assessment of the metrics to evaluate retaliation prevention and response effectiveness to the Commandant of Midshipmen.

## Functional Area 7: Investigation Procedures

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USNA is in compliance with DoD requirements for investigations.

USNA provides notification to those who have submitted a complaint of retaliation regarding how their complaint was resolved.

USNA complies with updates to social media policies as reflected in USNA social media etiquette guidance and DoN social media handbook. Midshipmen receive social media training from the Public Affairs Office and are also required to sign a document acknowledging understanding of the DoN and USNA policies.

## Functional Area 8: Data Collection and Reporting Requirements

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USNA is in compliance with DoD requirements for data collection and reporting requirements.

USNA complies with DoD and DoN policy for tracking data on harassment, to include tracking and reporting on non-consensual distribution of private images on all forms of media, including social media, personal cell phones, and the internet.

Quarterly reports on all formal, informal, and anonymous complaints are submitted to OPNAV N170E as required. Annual summary of sexual harassment statistical data is submitted to DoD ODEI and SAPRO per the annual report process.



## Functional Area 9: Command Climate Assessment

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USNA is in compliance with DoD policy requirements for Command Climate Assessments (CCAs).

The Superintendent implements the CCA program by ensuring climate assessments are conducted throughout USNA within 120 days after commander's assumption of command and annually thereafter, in compliance with assessment timelines as outlined in OPNAV 5354.1G. Results and analysis of the climate survey are provided to both the leader requesting the survey and the leader at the next level of the chain of command as soon as possible but no later than 30 days after receiving the results. Survey requests require leadership acknowledgement before approval from the Office of People Analytics (OPA).

Leadership reviews survey results and briefs them to the command, with an opportunity for all members of the command to participate. Follow-on assessments to include focus groups, one-on-one interviews, records review, and other forms of assessments based on DEOCS reports are utilized to validate responses and implement a Plan of Action and Milestones (POA&M) to address challenges.

# Sexual Assault Prevention and Response Program Compliance Assessment

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In accordance with tasking from USD (P&R), and as part of the APY 21-22 Data Call for the Department of Defense Report on Sexual Harassment and Violence at the Military Service Academies, USNA conducted a SAPR program compliance self-assessment. USNA used the SAPR Program Assessment Tool to execute its assessment, organized into six functional areas:

- SAPR Program Policy Requirements
- Reporting Options and Procedures
- Commander Response Procedures
- SARC and SAPR VA Procedures
- Case Management Group
- Training

Compliance in each area was determined by comparing USNA's programs to the requirements outlined in the governing instructions referenced in the Program Compliance Assessment Tool, principally DoD Instruction 6495.02, Change 7 (September 6, 2022), "Sexual Assault Prevention and Response: Program Procedures."

Overall, USNA is in compliance with all of the Department's policies regarding sexual assault Prevention and Response, with sufficient evidence of compliance in all six functional areas. The following pages capture the self-assessment results, observations, and plans for continuous improvement of USNA's sexual assault prevention and response programs,

## Functional Area 1: SAPR Program Policy Requirements

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USNA is in compliance with DoD, DoN and OPNAV policy requirements for SAPR programs.

USNA continued to operate in accordance with USNAINST 1752.2H. An update to USNAINST 1752.2H is in staffing and incorporates updates to DoD policy in the areas of expansion of restricted reporting and expansion of the CATCH program, along with DoN Safe to Report and No Wrong Door policies. Safe to Report states that no member of the DoN may discipline a Service member victim of sexual assault for minor collateral misconduct. No Wrong Door requires a warm hand-off with appropriate service providers in the areas of sexual assault, sexual harassment, and domestic abuse. DoN OFR directed USNA to implement CATCH expansion after SARC talking points are finalized and distributed; upon completion, the Superintendent will sign out the updated USNAINST. The SAPR Response team includes two SARCs, one of whom is designated as the Lead SARC and serves as the single point of contact for coordinating access to care and resources to ensure sexual assault victims receive appropriate and responsive care. Both SARCs perform their duties in accordance with policy and procedures, including notification

to the chain of command (as appropriate) and opening a case in DSAID within 48 hours, and ensuring DD Forms 29102 and 2911s are retained for 50 years. SARC and VAs have unimpeded access to the Superintendent and the immediate commander of the midshipman victim. All communication is conducted properly and with required confidentiality, and all medical information is safeguarded according to policy and procedures. Documents are retained in accordance with applicable instructions.

The Response team is fully staffed to meet current mission requirements. During APY 21-22, a long-serving USNA SARC retired from Federal Service. USNA prioritized the hiring action of a new SARC, and filled the position with no gap in SAPR services. USNA also has 8 uniformed collateral-duty VAs who maintain a 24 hour, 7 days per week sexual assault response capability. All SARC and VAs are Defense Sexual Assault Certification Program (D-SAACP) certified in accordance with DoD Instruction 6495.03.

During APY 21-22, USNA did not assess any victims to be in high-risk situations and was therefore not required to stand up a multi-disciplinary High-Risk Response Team (HRRT). USNA's local CMG instruction USNAINST 1752.4 details HRRT procedures.

Should midshipmen victims be involuntarily separated, they are informed that they may request a review of the circumstances of and grounds for involuntary separation.

## Functional Area 2: Reporting Options and Sexual Assault Reporting Procedures

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USNA is in compliance with DoD policy requirements for reporting options and procedures.

USNA delivered support and services independent of any decision made by a victim to participate in an investigation.

Victim privacy is of the utmost importance, and therefore midshipmen and staff are regularly trained on reporting options, procedures, and personnel with whom communications are entitled to confidentiality. USNA leadership, midshipmen, and staff have been briefed extensively on the implications of the expansion to Restricted Reporting options under new DoD policy. Policies and procedures are in place to ensure commanders immediately report information about a sexual assault to NCIS for investigation, as well as to ensure healthcare personnel initiate emergency care and notify a SARC or VA. Reporting is timely (within 24 hours) to the Superintendent and Commandant of Midshipmen with the appropriate amount of personally identifiable information, depending on which reporting option is selected. Additionally, USNA Lead SARC is attentive to the requirements on exceptions to Restricted Reporting and works with the USNA Legal team in making such a determination. Lastly, USNA complies with the obligation, when applicable, to seek the victim's preference regarding jurisdiction in a military or civilian judicial system.

## Functional Area 3: Commander SAPR Response Procedures

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USNA is in compliance with DoD, DoN and OPNAV policy requirements for Commander response procedures.

The Lead SARC has direct access to the Superintendent, and met with him prior to his assumption of command on 26 July 2019, and again on 15 August 2019, reviewing response policy and available reporting options. The Staff Judge Advocate provided the Military Rules of Evidence (MRE) 514 brief, which governs aspects of victim confidentiality. The Superintendent utilizes the “Commander’s 30-Day Checklist for Unrestricted Reports,” submits an 8-day incident report in writing after receiving an Unrestricted Report, and provides monthly updates to victims, via their Battalion Officers, who have filed an Unrestricted Report within 72 hours of the CMG.

SARCs train all military responders who serve as collateral duty VAs in accordance with DoD policy, requirements, and standards. Additionally, USNA’s two SARCs, two VAs, and 8 collateral duty VAs are all trained to conduct a safety assessment of each victim, and such an assessment is always completed upon intake. Moreover, the Superintendent utilizes the USNA Director of Prevention Education and staff to conduct training on prevention of reprisal, retaliation, ostracism, and maltreatment, and has established policies and procedures to protect victims, SARCs, VAs, witnesses, healthcare providers, and bystanders from retaliation.

USNA has Memorandums of Understanding (MOUs) with two civilian medical facilities, Anne Arundel Medical Center and Mercy Medical Center. These MOUs allow victims to receive sexual assault forensic examinations (SAFE) and include the appropriate requirements for handling SAFE kits and for contacting a USNA SARC. USNA is also a member of the Anne Arundel County (AACo) Sexual Assault Response Team (SART) which is a multi-disciplinary committee composed of military and civilian agencies dedicated to fostering a society responsive to sexual assault victims and their families, and a community that holds offenders accountable. AACo’s SART focuses on challenges and changes that impact interagency response to victims, development of preventive initiatives for the community, and consistency of investigative/legal procedures and processes within the Anne Arundel County footprint.

## Functional Area 4: SARC and SAPR VA Procedures

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USNA is in compliance with DoD policy requirements for SARC and SAPR VA procedures.

The USNA SAPR Response team consists of two SARCs (one designated as Lead SARC), two permanent, civilian VAs, and 8 collateral duty VAs, all of whom are D-SAACP certified prior to assuming their duties, to provide services for the Brigade, faculty, and staff. The SARCs exercise oversight responsibilities for VAs providing victim advocacy services. The SARC also familiarizes commanders and supervisors of collateral duty VAs with the roles, responsibilities, and expectations of the VAs, to include the “Supervisor and Commander Statement of Understanding” on the DD Form 2950. While the SARCs assist with meeting training requirements, USNA has a Director of Prevention Education who is charged with executing all SAPR related training. This allows USNA to go beyond merely meeting minimum annual requirements, for example training midshipman as SHAPE Peer Educators and GUIDE peer helpers and thus arming the Brigade with a wealth of capable peer resources.

The DoD Safe Helpline and other outreach materials are widely publicized at USNA, including on the public facing and internal internet systems. The GUIDE peer helpers also facilitate outreach efforts at USNA.

As part of the intake process, the SARC gives the victim a hard copy of the DD Form 2910 and provides the victim all relevant information about confidentiality issues, MRE 514, VLC services, protective orders, and resources available in the event of retaliation, reprisal, ostracism, or maltreatment. The SARC maintains liaison with commanders, DoD law enforcement, NCIS, and civilian authorities, as appropriate. Additionally, the SARC consults with leadership, as appropriate, to discuss mitigation of risk factors at the Academy.

With respect to assessments on the effectiveness of the SAPR Program, USNA continues to evaluate best practices. During APY 20-21, USNA partnered with NORC at the University of Chicago on a multi-year project to plan a comprehensive, objective, third-party evaluation of the program. These efforts continued in APY 21-22 with survey execution for the Classes of 2023 and 2025, with follow-on surveys for both Classes scheduled to be completed in APY 22-23. USNA will use these results to refine and improve the SHAPE program. USNA continuously assesses trends and characteristics of sexual assault crimes; during APY 21-21 these efforts led to lighting improvements in a space where an assault had occurred.

## Functional Area 5: Case Management Group

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USNA is in compliance with DoD policy for Case Management Group (CMG) procedures.

The Superintendent chairs the monthly CMG to review individual cases, ensure each victim has received a safety assessment, and facilitate monthly victim updates. Furthermore, the Superintendent directs system accountability, entry of disposition and victim access to quality services, as well as ensures training, processes, and procedures are complete for system coordination. The Lead SARC serves as the co-chair. All required CMG members, to include NCIS, actively participate each month. The Superintendent also chairs the quarterly CMG. The quarterly CMG requirement is codified in the USNA local CMG policy, and is focused on system coordination and challenges among CMG members, timely victim access to care (medial, mental health, advocacy, legal, spiritual, etc.) and overall trends and areas for improvement. The quarterly CMG is held in conjunction with a regularly scheduled CMG, but is separate from individual case management oversight.

The CMG chair ensures retaliation, reprisal, ostracism, and maltreatment allegations involving the victim, SARCs, and SAPR VAs remain on the CMG agenda for status updates until the victim's case is closed or the allegations have been appropriately addressed.

## Functional Area 6: Training

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USNA is in compliance with DoD policy requirements for training.

Every new midshipman receives initial SAPR training within 14 days of reporting during Plebe Summer. The SAPR staff and Company Officers / Senior Enlisted Leaders co-facilitate USNA's



required Plebe Summer SAPR training. This underscores the partnership between SAPR and leadership, and emphasizes the importance of culture and climate at the company level in preventing sexual assault. Beyond Plebe Summer, midshipmen receive between one and four hours of SHAPE training each year, as well as SAPR training briefs every time the Brigade reforms (at the start of Fall and Spring semesters), and prior to summer training and Fleet cruises. Training utilizes adult learning theory and interactive scenarios, and includes instruction on DoD sexual assault policy, definitions and reporting options.

All service members, regardless of rank, receive annual SAPR training including an explanation of what constitutes reprisal, retaliation, ostracism, and maltreatment in accordance with Service regulations and Military Whistleblower Protections. Furthermore, support of the Military Whistleblower Program is a required Performance Element for all civilian supervisors. All managers and supervisors (both civilian and military) have received specialized training explaining how to handle retaliation, reprisal, ostracism, and maltreatment allegations.

The SAPR office also conducts specialized training with Naval Academy Athletic Association coaches and staff, civilian faculty, and non-appropriated funds / wage-grade USNA employees. Any department or division can request additional SAPR training and prevention staff will accommodate their specific needs.

All sexual assault responders are fully certified before assuming their duties and receive at least annual training thereafter, along with opportunities to attend conferences and seminars throughout the year, which are fully resourced within the SAPR budget.

## Naval Academy Preparatory School

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### Executive Summary

The Naval Academy Preparatory School (NAPS) is in compliance with DoD policies regarding sexual harassment and sexual assault.

The NAPS mission is to enhance midshipman candidates' moral, mental, and physical foundations to prepare them for success at USNA. Demanding military, physical, and character development programs complement the academic preparation to fully prepare students for the challenges of life at a service academy.

NAPS is the first time a majority of students are exposed to the military and military training requirements. Their Candidates ages range from 17-22, thus the approach to and consistency of training is critical. Their training program continued to be a strength, starting during their Indoctrination period and continuing throughout their academic year. Candidates received SAPR training in small group settings led by the SARC and command VAs. Additionally, they were exposed to several SAPR events during the month of April in support of SAAPM.

NAPS is fortunate to have a collaborative relationship with the Naval Station (NAVSTA) Newport SARC, characterized by open lines of communication, teamwork, and trust. The SARC has direct access to the Commanding Officer and meets all policy requirements in the areas of training,

reporting, and victim care. Additionally, the SARC meets all timelines for reporting and DSAID entry. Appropriate forms, databases, and personnel are updated when required and depending on report type. NAVSTA Newport has a 24/7 SA response capability. NAPS also has collateral duty SAPR VAs who are certified through D-SAACP prior to assuming their duties. Only properly qualified and trained personnel respond or provide services.

For all Unrestricted reports, the 30-Day Checklist is utilized, NCIS is informed, and all follow-on administrated requirements are completed in the allotted time. Policies are in place to honor a victim's choice to participate or not participate in an investigation, protect confidentiality by limiting 'need to know' personnel, and work with the Staff Judge Advocate and SARC for all sexual assault cases. Military Protective Orders are offered to the victim. Expedited transfer is offered as an option to victims who are prior-enlisted, and the option for a Leave of Absence was added to the most recent update to the NAPS local instruction.

The Commanding Officer received all required training within 30 days of assuming command. The Commanding Officer attended the installation CMG when the command had active cases, and met with victims within 72 hours after completion of the CMG in accordance with policy.